

02-16-00

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02/15/00  
jc644 U.S. PTO

PATENT

Docket No. Krause-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: KRAUSE, Robert P. )

Serial No.: Not Yet Assigned )

Filed: Herewith )

For: FINANCIAL INSTRUMENTS, SYSTEM, )  
 AND EXCHANGES (FINANCIAL, )  
 STOCK, OPTION AND COMMODITY )  
 BASED UPON REALIZED VOLATILITY )

jc503 U.S. PTO  
09/505947  
02/15/00

REQUEST FOR FILING A UTILITY APPLICATION

Hon. Commissioner of Patents and Trademarks  
Washington, DC 20231

Sir:

This is a request for filing a utility application:

1. [X] Enclosed is a complete copy of the application, including 52 pages of cover page, specification, claims, abstract, and table I, and four (4) sheets of drawings.
2. [X] Enclosed is a Declaration and Power of Attorney (executed).
3. [X] A Verified Statement to establish small entity status under 37 CFR §§1.9 and 1.27 is enclosed (executed).
4. [X] The filing fee is calculated below:

	Col. 1	Col. 2	Small Entity	Other Than Small Entity
For:	No. Filed	No. Extra	Rate	Fee
Basic Fee:				\$345
Total Claims:	19-20= 0		x\$ 9= \$0	x\$18= \$
Indep. Claims:	4- 3= 0		x\$39= \$ 39	x\$78= \$
[ ] Multiple Dependent Claims Presented				
			+\$130= \$	+\$260= \$
Total			\$384	or Total \$

09505947-034500

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: KRAUSE, Robert P. )

Serial No.: Not Yet Assigned )

Filed: Herewith )

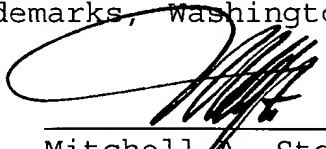
For: FINANCIAL INSTRUMENTS, SYSTEM, )  
AND EXCHANGES (FINANCIAL, )  
STOCK, OPTION AND COMMODITY )  
BASED UPON REALIZED VOLATILITY

CERTIFICATE OF EXPRESS MAILING"Express Mail" Mailing Label No.: EL497992165USDate of Deposit: February 15, 2000

I hereby certify that the following:

- [X] This Certificate of Express Mailing  
[X] Transmittal letter  
[X] A patent application consisting of fifty-two (52) pages of title, abstract, specification, Table I, and claims  
[X] Drawings containing the figures, consisting of four (4) pages  
[X] Check in the amount of \$384.00 to cover the filing fee  
[ ] Preliminary Amendment (\_\_\_\_ pages)  
[ ] Certified copy/copies of priority documents, Appln. No. \_\_\_\_ (\_\_\_\_ pages), Appln. No. \_\_\_\_ (\_\_\_\_ pages), and Appln. No. \_\_\_\_ (\_\_\_\_ pages)  
[ ] Information Disclosure Statement (\_\_\_\_ pages)  
[ ] Copies of the patents/publications identified in the Information Disclosure Statement  
[X] Declaration and Power of Attorney (executed).  
[X] Verified Statement to establish small entity status under 37 CFR §§1.9 and 1.27 is enclosed (executed). fee for Assignment  
[X] Return postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR Section 1.10 on the Date of Deposit indicated above in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

  
\_\_\_\_\_  
Mitchell A. Stein  
Reg. No. 30,978

STEIN ROSENFELD KING & KAPLAN, L.L.P.  
489 Fifth Avenue  
29<sup>th</sup> Floor  
New York, New York 10017  
(212) 883-0100

5. [ ] The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Account No. \_\_\_\_\_. A duplicate copy of this sheet is enclosed.

6. [x] A check in the amount of \$384.00 is enclosed.

7. [ ] Enclosed is an Assignment to \_\_\_\_\_, including a Cover Sheet

8. [ ] Enclosed is a check for \$40.00 for the Assignment recordation fee.

9. [X] The power of attorney in this application is to:

Name : Mitchell A. Stein, Esq.  
Reg. No.: 30,978

10. [X] Address all future communications to:

Mitchell A. Stein, Esq.  
Reg. No. 30,978  
STEIN ROSENFELD KING & KAPLAN, L.L.P.  
489 Fifth Avenue, 29<sup>th</sup> Floor  
New York, New York 10017  
Tel. No. (212) 883-0100

11. [ ] A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

By: 

Mitchell A. Stein  
Reg. No. 30,978  
Attorney for applicant

Dated: February 15, 2000  
489 Fifth Avenue, 29<sup>th</sup> Floor  
New York, New York 10017  
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